



Attorney Docket No. 02685/5614  
AT&T Docket No.: 2000-0110

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: GORIN, et al.  
Group Art Unit: 2644  
Application No.: 09/712,192  
Examiner: Not Yet Assigned  
Filed: November 15, 2000

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Technology Center 2600

For: **METHOD AND SYSTEM FOR PREDICTING PROBLEMATIC SITUATIONS IN  
AUTOMATED DIALOG**

INFORMATION DISCLOSURE STATEMENT

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

Pursuant to 37 CFR § 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. Unless otherwise indicated herein, one copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom. The paragraphs marked below are applicable.

☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date or the date of filing a CPA, OR (b) before the mailing date of a first Office Action on the merits in the present application. No certification or fee is required.

2. This Information Disclosure Statement is being filed with a Request for Continued Examination (RCE). No certification or fee is required.

3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).

b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

c. Please debit Deposit Account No. 11-0600 in the amount of \$240.00 in payment of the fee under 37 CFR §1.17(p) to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.

4. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Please debit Deposit Account No. 11-0600 in the amount of \$130.00 in payment of the petition fee under 37 CFR §1.17(i)(1) to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.

a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).

b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

☒ 5. Applicants submit that the reference listed in the attached PTO-1449 was a paper authored by the inventors and published December 12, 1999, less than one (1) year before the November 15, 2000 filing date of this application. However, the paper was submitted to a publication committee for review and approval prior to publishing. This review took place in September 1999, more than one year prior to the filing of this application. The attached Declaration of Mazin Rahim Under 37 C.F.R. §1.132 describes the procedures that kept the submission confidential such that only 2 people other than the inventors reviewed the paper. Moreover, the reviewers were also AT&T employees working in the same building as the inventors. As such, Applicants submit the attached paper and Declaration in accordance with 37 C.F.R. § 1.56 for consideration by the Examiner but request that the paper not be considered to be prior art under any section of 35 U.S.C. 102 for the reasons stated herein and in the Declaration.

Respectfully submitted,

Date:

June 4, 2001

By:



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